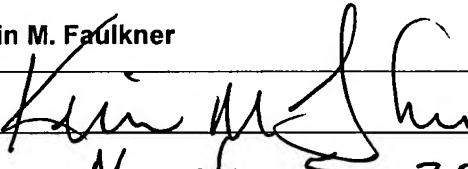
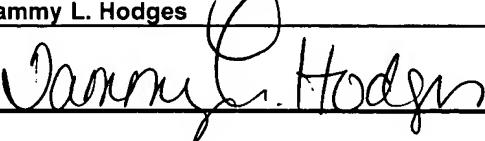


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|--|----|------------------------|--------------------------|
| TRANSMITTAL FORM <small>(to be used for all correspondence after initial filing)</small> | | Application Number | 10/781,404 |
| | | Filing Date | 02/18/2004 |
| | | First Named Inventor | Porter C. Shannon et al. |
| | | Group Art Unit | Unassigned |
| | | Examiner Name | Unassigned |
| Total Number of Pages in This Submission | 21 | Attorney Docket Number | 2003U038.US |

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|--|--|---|---|
| ENCLOSURES (check all that apply) | | | |
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Preliminary Amendment / Response <div style="margin-left: 20px;"><input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)</div> <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Form-1449 <input checked="" type="checkbox"/> Information Disclosure Statement <div style="margin-left: 20px;"><input checked="" type="checkbox"/> 1449 Form <input checked="" type="checkbox"/> Copies of Cited References</div> <input type="checkbox"/> Certified Copy of Priority Documents) <input type="checkbox"/> Response to Missing Part/ Incomplete Application <div style="margin-left: 20px;"><input type="checkbox"/> Response to Missing Parts</div> | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer Two (2) <input type="checkbox"/> Notice to File Corrected Application Papers <input type="checkbox"/> Substitute Specification | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="margin-left: 20px;"><u>Postcard</u></div> | |
| | | | <input type="checkbox"/> Assignment Papers (for an Application) |
| | | | <input type="checkbox"/> Drawing(s) |
| | | | <input type="checkbox"/> Licensing-related Papers |
| | | | <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition |
| | | | <input type="checkbox"/> To Convert a Provisional Application |
| | | | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address |
| | | | <input type="checkbox"/> Terminal Disclaimer Two (2) |
| | | | <input type="checkbox"/> Notice to File Corrected Application Papers |
| | | | <input type="checkbox"/> Substitute Specification |
| REMARKS | | | |

| | | |
|---|---|----------------------------|
| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | |
| Firm Or Individual name | Kevin M. Faulkner | Registration No. 45,427 |
| Signature |  | |
| Date | March 5 2004 | |

| | | |
|---|--|--|
| CERTIFICATE OF MAILING | | |
| I hereby certify having information and a reasonable basis for belief that this correspondence will be deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Non-Fee Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: | | |
| March 5, 2004 | | |

| | | | |
|-----------------------|---|------|----------|
| Typed or printed name | Tammy L. Hodges | | |
| Signature |  | Date | 3/5/2004 |



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| TRANSMITTAL OF SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR § 1.97(b), 1.97(c), or 1.97(d) | | Attny. Docket No. 2003U038.US |
| In Re Application of: Porter C. Shannon et al. | | |
| U.S. Serial No. 10/781,404 | Filing Date February 18, 2004 | Examiner Unassigned |
| | | Group Art Unit Unassigned |

Address to:
**Mail Stop Non-Fee Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**

37 CFR § 1.97(b)

The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

37 CFR § 1.97(c)

The Information Disclosure Statement submitted herewith is being filed after three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); after three months of the date of entry of the national stage as set forth in § 1.491 in an international application; after the mailing of a first Office Action on the merits; or after the mailing of a first Office Action after the filing of a request for continued examination under § 1.114, but before the mailing date of:

1. a Final Action under § 1.113,
2. a Notice of Allowance under § 1.311, or
3. an action that otherwise closes prosecution in the application,

and is accompanied by either:

the fee as set forth in § 1.17(p), or
 the following statement under § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

37 CFR § 1.97(d)

The Information Disclosure Statement submitted herewith is being filed after a Final Action under § 1.113, a Notice of Allowance under § 1.311, or an action that otherwise closes prosecution in the application, but before, or simultaneously with, the payment of the issue fee. Submitted herewith is the fee as set forth in § 1.17(p) and the following statement under 37 CFR § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Applicant hereby request consideration of the Information Disclosure Statement, USPTO form 1449, submitted herewith.

Legible copies of the references are enclosed.

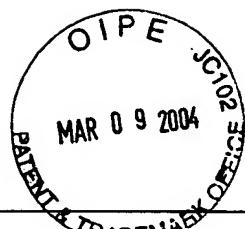
This application is a:
 Continuation / Divisional,
 Continuation-in-Part,

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment, to Deposit Account Number 50-0589. 

Date

$$\begin{array}{r} 3 \\ | \quad 5 \\ \hline 0 \quad 4 \end{array}$$

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**INFORMATION DISCLOSURE
STATEMENT**
(Use several sheets if necessary)

| | |
|--------------------------|------------|
| ATTY. DOCKET NO. | SERIAL NO. |
| 2003U038.US | 10/781,404 |
| APPLICANT | |
| Porter C. Shannon et al. | |
| FILING DATE | GROUP |
| 02/18/2004 | Unassigned |

U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|-------------------|----|-----------------|------|------|-------|----------|----------------------------|
| | AA | | | | | | |
| | AB | | | | | | |
| | AC | | | | | | |
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| | AG | | | | | | |
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FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | PUBL. DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |
|--|----|-----------------|------------|---------|-------|----------|-------------|
| | | | | | | | YES NO |
| | AK | | | | | | |
| | AL | | | | | | |

OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)

| | | |
|--|----|---|
| | AM | Peter Fischer, Johnannes Wortberg, <i>Single-Screw Extruders and Barrier Screws</i> , Extended Version of a paper presented at the VDI conference on "The Single Screw Extruder - Basics and System Optimization", published by VDI-Verlag Düsseldorf, 1997 "Kunststofftechnik" |
| | AN | |

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|---|-----------------|
| EXAMINER | DATE CONSIDERED |
| EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line though citation if not in conformance and not considered. Include copy of this form with next comment to applicant | |